WINDOW A:
CALL FOR CONCEPT NOTES

INTEGRATED POLICY
LEAVING NO ONE BEHIND | SOCIAL PROTECTION

28 March 2019
JOINT SDG FUND: VISION

The Joint SDG Fund supports countries accelerate progress towards the Sustainable Development Goals (SDGs) and to deliver on the commitment of the 2030 Agenda to leave no one behind. The transformative nature of the 2030 Agenda hinges on all segments of society urgently coming together to launch sustainable and inclusive growth trajectories within a short period of time.

To transform our world we need integrated economic, social and environmental policies, informed by a rights based agenda, along with significant volumes of new financing. The Joint SDG Fund will incentivize countries to draw on expertise and innovation from across the United Nations Development System and a broad range of partners to strategically invest in SDG acceleration that is tailored to different country contexts.

Linked directly to the reform of the United Nations, the Joint SDG Fund leverages the comparative advantages of the United Nations. It supports countries with SDG implementation—often in the context of uncertain and/or volatile development settings. The Joint SDG Fund provides a new generation of Resident Coordinators (RCs) and United Nations Country Teams (UNCTs) with a timely and critical instrument to incentivize the adoption of new solutions for longer-term sustainability, intrinsically linked to gender equality\(^1\), and the principle of Leaving No One Behind\(^2\). Central to the Fund is the commitment to forge paths and partnerships that unlock SDG resources at scale; financing that is far greater in order of magnitude and comes from multiple sources.

The finely-tuned application processes and rigorous technical assessments of the Joint SDG Fund will ensure that the most transformative ideas and initiatives are realized, helping deliver on the 2030 Agenda. The Joint SDG Fund will provide flexible, reliable, and regular support to programmes built on integrated approaches, scalability, innovation and partnerships.

The Terms of Reference of the Joint SDG Fund note point to three broad areas of support:

- **Identify and activate SDG policy tools:** The Joint SDG Fund will support UNCTs in identification of policy levers, through an integrated and cross-sectoral approach, that unleash rapid progress across different goals and targets, based on data, assessments and analysis carried out by national and international partners;
- **Reinforce the SDG financing architecture and ecosystem:** The Joint SDG Fund will support the development of financing strategies for SDG investment. This work will include: i) strengthening the capacities of the national and sub-national SDG financing architecture; and ii) the production of multi-stakeholder financing strategies with the aim of dramatically increasing the scale and improving the focus of SDG investments.
- **Catalyze strategic programming and investments:** The Joint SDG Fund will support UNCTs in investing in key initiatives that emerge from (1) and (2), and that leverage public and private financing in order to advance the SDGs. These initiatives

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1 See *Resource Book for Mainstreaming Gender in UN Common Programming at the Country Level*
2 As represented in “Leaving No One Behind: A UNSDG Operational Guide for UNCTs”
will provide a demonstration of concept and will be scalable both in country and elsewhere.

In line with the implementation of UN reform agenda, UN Joint Programmes supported by the Fund will demonstrate a new generation of collaboration for results, embedded in the UNDAF and committed to enhanced national ownership, leadership and capacities.

The Joint SDG Fund operates through a series of Calls for Concept Notes, that lead to preparation and implementation of transformative Joint Programmes, under the leadership of Resident Coordinators.

This Call focuses on identification and activation of policy accelerators that unleash rapid progress across the SDGs focusing on Leaving No One Behind, and specifically social protection.

The Joint SDG Fund will provide 60 million USD to take to scale innovative approaches to integrated policy solutions, and leverage financing for social protection, including floors, paying special attention to the most vulnerable and marginalized populations, including children, women, adolescents, people, living with disabilities and older people.

INTEGRATED POLICY SOLUTIONS FOR SDG ACCELERATION

Despite good initial efforts by countries to nationalize the SDGs by identifying priorities in domestic contexts at national and sub-national levels, the reality of the 2030 goalpost requires a rapid acceleration of efforts and results.

The SDGs are integrated and indivisible, which means that acceleration should be understood from a systems perspective: identifying policy levers for systemic change that address bottlenecks and produce a virtuous cycle across issues and/or sectors.

Such changes can lead to major improvements in policy outcomes, contributing to accelerated progress across multiple SDGs.

This Call for Concept Notes will support a new generation of transformative, nationally-led, integrated initiatives that leverage the best expertise and resources to address complex problems to accelerate the progress on SDGs.

Integration as articulated in the 2030 Agenda makes the case for tackling complex development problems together in order to maximize synergies and manage trade-offs.
while leveraging and allocating resources more efficiently to achieve sustainable solutions.

Integration can be understood to include several aspects more broadly:

- The principles of integration, indivisibility and balance across the economic, social, environmental dimensions of sustainable development, addressing the inter-linkages among the 17 Sustainable Development Goals;\(^3\)

- The underlying mandate to Leave No One Behind and to endeavor to reach the furthest behind first;

- The connection of this development agenda to other related global agendas (including human rights, peace and security, climate, financing, prevention, risk and resilience, and the humanitarian-development nexus);

- The recognition that this requires of a whole-of-society and whole-of-government approach;

- The trajectories of mutually reinforcing actions over time and across generations.

The proposals in this Call will go beyond one-off policy support and bring together coalitions of diverse stakeholders to lead innovation, implementation, and scaling of integrated policy solutions.

The policy accelerators are distinct and specific to each country context and need to be identified through an understanding of the complex system of SDGs particular to that setting. Informed by a rights-based approach, it will need to identify and engage major stakeholder groups that have an impact on development outcomes, moving beyond traditional development actors as appropriate.

Applying such systems thinking to SDG implementation requires tangible changes in how policy is designed, financed and implemented, how sectors collaborate with each other, and how UN entities collaborate with each other and other stakeholders. Such policy support can address a range of the most pressing problems at national, sub-national and local levels, drawing on an understanding of the interlinkages across sectors.

It will need to develop integrated data ecosystems and capacities, and leverage new technologies and partnership opportunities that facilitate leapfrogging and transformation.

LEAVING NO ONE BEHIND: SOCIAL PROTECTION

This Call focuses on Leaving No One Behind (LNOB), and specifically Social protection\(^4\) - measures designed to reduce and prevent poverty in all its forms and vulnerability throughout the life cycle.

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\(^3\) Weitz et al, “Towards systemic and contextual priority setting for implementation of the 2030 Agenda”

\(^4\) For more information: [http://www.socialprotection-humanrights.org](http://www.socialprotection-humanrights.org)
We know from our experience that social protection is a tested mechanism to address poverty and inequality and to reach those who have been left behind. Well-designed social protection systems, such as targeted cash transfer, social insurance, health insurance for poorest or universal child benefits, not only reduce poverty and inequity but also contribute to human capital development. Therefore, social protection programmes targeting the most marginalized groups fit at the center of the leaving no one behind agenda.

This Call will support innovative solutions for social protection that shift from a business-as-usual approach to one that adopts a transformative, systems perspective and creates pathways for faster, catalytic and more sustainable progress towards the SDGs, with the focus on the most vulnerable and marginalized populations.

Income inequality has been on the rise in many countries while unequal social opportunities continue to persist, whether in terms of access to decent work, quality education and health care or to productive assets such as land and credit. Therefore, there is a growing consensus on the urgency of addressing inequalities and challenges to social inclusion and on social protection as a key vehicle for addressing those challenges in a sustainable manner.

An important response to the 2030 Agenda’s call to Leave No One Behind is to ensure that social protection is accessible by all, including those furthest behind.

Social protection is the set of policies designed to reduce and prevent poverty and vulnerability throughout the life cycle. Social protection systems are implemented through a mix of contributory schemes and tax-financed social assistance. Social protection, or social security, is a human right. However, 55% of the world’s population are not protected at all, and many more are only inadequately protected. Social protection systems, including floors, are a vital element of integrated policy responses to Leave No One Behind.

Social protection plays a key role in accelerating progress towards the SDG by increasing people’s income and by addressing vulnerabilities and risks across the whole life cycle. It is reflected specifically in the SDG target 1.3, as well as in SDG targets 3.8, 5.4, 8.5 and 10.4. But it also creates a catalytic effect for the achievement of the 2030 Agenda in all its dimensions.

Social protection is interrelated with health, food security, education, formalization and employment policies, among other fields. It is also firmly linked to economic development policies through its positive impact on local economies, household productivity, market participation.

By acknowledging the role of private households and particularly women in providing care, social protection policies should also be integrated with gender equality and women’s empowerment strategies.

Social protection can help minimize people’s vulnerability to shocks linked with disaster risk management and climate change adaptation.

The sustainability of social protection systems requires ensuring the coherence between social protection policies related policy areas in particular national financial, fiscal, and economic contexts.

Social protection benefits should be delivered close to where people live and work – the principle of subsidiarity - which relates to decentralization reforms.

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5 Commission for Social Development, 2019 Session
represents an effective approach to addressing inequalities in the context of the sustainable development policy.

Social protection policies should **comply with the standards of accessibility, adaptability, acceptability and adequacy.** This means that:

- The design and implementation of social protection policies should take into account the economic, legal, administrative and physical obstacles that individuals face in accessing social protection, giving particular consideration to women, persons with disabilities, older persons, indigenous peoples, minorities, informal workers, non-nationals and others who face additional obstacles;

- All stages of social protection policies, from the delivery of benefits to outreach efforts, should be specifically designed to overcome cultural barriers and to reach groups that are particularly vulnerable or excluded; and

- **Benefit levels should be adequate** to improve the standard of living of the beneficiaries, and complemented by free or affordable quality public services.

**An integrated approach to social protection** is a necessity not only to ensure the coherent and effective design of innovative solutions that have a multiplier effect across sectors and issues, but also to enable adequate fiscal commitments and budgetary allocations.

With this Call, the Joint SDG Fund aims to identify and support a range of transformative initiatives on social protection that demonstrate integrated thinking, involvement and commitment of major stakeholders (including target populations), and real potential for going beyond policy prescription to implementation.

The focus should be on innovative policy for countries who need to invest in transformed systems for health care, education, employment, social cohesion, and pensions in order to achieve both “quick wins” and sustainable, long-term results with strong national ownership, leadership and capacity.

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6 For an explanation of how these four standards apply to social protection policies, please refer to: [Human Rights Approach to Social Protection](#)
THE APPLICATION PROCESS AND CRITERIA

All RCs may submit one Concept note as a proposal for a Joint Programme for a maximum duration of 2 years and a maximum budget of $2 million USD. The overall funding envelope for this Call is 60 million USD\(^7\), so from 131 eligible UNCTs, at least 30 will receive funding. Successful proposals will:

- Effectively address integrated policy solutions for SDG acceleration with the focus on Leaving No One Behind\(^8\) and, specifically, social protection.
- Prioritize innovation, relevance and quality, overall coherence, transformational potential, opportunities for scaling, and catalytic aspects.
- Include an initial Theory of Change for SDG acceleration and demonstrate the multiplier effect on multiple SDGs.
- Lead to results that are measurable (based on robust SDG data), catalytic (producing ‘chain-reactions’ in development terms), and sustainable (ensuring the preconditions for continued change).
- Clearly demonstrate the comparative advantage of the UN working together to lead to impact.

It will be essential to demonstrate how the UN leverages its technical expertise and convening role to help design unconventional policy solutions and facilitate a transformative process that goes beyond policy recommendations in the two-year period of Joint Programme implementation.

To be considered, a Concept Note must meet the following eligibility criteria:
- Reflects the integrated nature of the SDGs;
- Based on an inter-agency approach (two or more UN entities involved), that develop and implement the Joint Programme under the leadership of the RC;
- Results are part of the UNDAF and aligned with national SDG priorities;
- The proposal is based on country level consultations, as explained in the Concept note, and endorsed by the government (the letter of endorsement); and
- Based on the standard template for Concept Notes, it is complete, and it includes:
  - Theory of Change demonstrating contribution to SDG acceleration,
  - Results-oriented partnerships,
  - "Quick wins” and substantive outcome-level results, and
  - Initial risk assessment and mitigation measures.

Concept Notes that meet the eligibility criteria will qualify for technical review (see technical review criteria in Annex 2).

Final funding decisions will be informed by the portfolio approach that takes into consideration expected impact, and the operationalization of the following principles:

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\(^7\) The minimum transfer to one PUNO is 100,000 USD. This should be taken into consideration when preparing the overall cost in the Concept Note and later, if the Concept Note is approved, the full budget for a Joint Programme.

\(^8\) As represented in “Leaving No One Behind: A UNSDG Operational Guide for UNCTs”
Regional diversity

Typology of countries: (including Least Developed Countries, Middle Income Countries, Small Island Developing States, as well as post-conflict and development-humanitarian nexus settings)

SDG coverage - a wide range of approaches to social protection that cover social, economic and environmental dimensions of the 2030 Agenda

Once a Concept Note is approved, the RC will be invited to submit a full Joint Programme (JP) in line with the UNSDG Guidance on Joint Programmes and additional instructions provided by the Joint SDG Fund Secretariat. The period for preparation of full Joint Programmes will be maximum 12 weeks. JPs will need to include selected results and indicators from the Results Framework of the Joint SDG Fund.

Three phases of programme cycle of the Joint SDG Fund

Preparation and approval of Concept Notes

- RCs will be invited to prepare and submit proposals in the form of a Concept Note;
- The Technical Review of Concept Notes will be conducted by experts from UN agencies and external experts;
- The Fund Secretariat will propose options to the OSC following the outcome of the Technical Review;
- The OSC will make preliminary funding decisions.

Development and approval of Joint Programmes

- Based on successful Concept Notes, RCs will be invited to develop a full Joint Programme;
- Joint Programme documents will be quality assured by the Fund Secretariat, and experts from UN agencies represented in the OSC;
- The Fund Secretariat will make recommendations to the OSC as to whether the quality criteria have been met;
- The OSC will make final funding decisions.

Implementation of Joint Programmes

- Implementation of successful Joint Programmes will start.

The Concept Note deadline is COB on 6 May 2019 at 12pm ET. The template for the Concept Note is provided in Annex 1. Use this link to apply on-line.

To access the on-line application system use the RC email address as the login, and the temporary password 123123 (it will need to be reset after the first login for security purposes).

Updates, clarifications, support, and the opportunity to ask questions will be provided on the Joint SDG Fund Network page on the Yammer9 (One Knowledge Exchange Network) - link. The Joint SDG Fund Secretariat will be available for hotline support through jointSDGfund@un.org. For more information, see also the Joint SDG Fund webpage (link).

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9 The information will be shared also on this Microsoft Team.
### FACT SHEET

**Title of the proposed Joint Programme:**

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<th>UNCT:</th>
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<th>RCO focal point:</th>
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<th>Lead UN entity and contact person:</th>
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<th>Participating UN entities and contact persons:</th>
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<th>Relevant UNDAF Outcome/s and Output/s:</th>
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<th>Relevant objective/s from national strategic document/s:</th>
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<tr>
<th>List human rights mechanisms which have issued recommendations relevant to the joint programme (please use acronyms):</th>
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<tr>
<th>SDG targets on which the progress will be accelerated (includes targets from a range of SDGs and development pillars):</th>
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## SELF-ASSESSMENT

<table>
<thead>
<tr>
<th>Eligibility criteria</th>
<th>Yes/No</th>
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<tr>
<td>The proposal reflects the integrated nature of the SDGs</td>
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<td>The proposal is based on an inter-agency approach (two to more UN entities involved), with RC coordinating Joint Programme preparation and implementation.</td>
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<td>The proposed results are part of the UNDAF and aligned with national SDG priorities</td>
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<td>The proposed Joint Programme will be led by government and include key national stakeholders</td>
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<td>The proposal is based on country-wide consultations, as explained in the Concept note, and endorsed by the government (the letter of endorsement)</td>
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<td>The proposal is based on the standard template for Concept Notes, it is complete, and it includes:</td>
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<td>- Theory of Change demonstrating contribution to SDG acceleration,</td>
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<td>- Initial risk assessment and mitigation measures.</td>
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## PROPOSAL for JOINT PROGRAMME

### 1. Summary of the Joint Programme

*Max 550 words*

=> Provide an overview of the Joint Programme by responding to the following:
- What is overall purpose of the Joint Programme? What are the expected results by the end of the 2-year period?
- Who are the main target group/s and why do you want to focus on them?
- What is the problem/s it intends to solve? What is the baseline? What are the needs/gaps it proposes to address?
- What is the approach and main steps in the methodology to effectively address SDG acceleration?
- Who will lead the process on the side of government?
=> Briefly explain the process of country-level consultations, including with the government, that led to preparation and endorsement of this proposal.

### 2. Why is the proposed Joint Programme relevant and transformative?

*Max 500 words*

=> Briefly explain and demonstrate how the proposed Joint Programme is expected to accelerate the progress on the SDGs through integrated policy solutions focusing on LNOB and, specifically social protection. What is different about this initiative?
=> Indicate the catalytic potential: a) for a multiplier effect across the SDGs, b) scaling/replicating the solutions and results across issues and sectors, and across geographies, and c) leveraging additional financing.
=> Briefly explain what the alternative approaches/ideas are and why is this proposal the best approach? Do you plan to prototype / test and cost alternative solutions, or you have already done that?
=> Briefly explain the consultations you conducted with government and other partners on preparation of the proposed Joint Programme before finalization of the Concept note.
3. What are the expected results of the proposed Joint Programme?

(If the Concept note is approved, this will be the basis for Results Framework of the full Joint Programme document).

Max 400 words

=> Use bullet points to present the results expected by the end of the two-year period of the JP. Include both “quick wins and substantive, outcome-level results regarding SDG acceleration.

=> Demonstrate that the results are part of the UNDAF and aligned with national SDG priorities, as defined in national development strategy/plans, other relevant strategies/plans and/or (multi)annual budget frameworks.

=> Indicate how you plan to ensure the sustainability of results after the end of the Joint Programme.

=> Briefly explain how you plan to measure the contribution of the proposed results to accelerated progress on selected SDG targets.

=> Indicate what multi-stakeholder engagement will be undertaken, including for analysis, diagnostics, coordination, financing and implementation.

4. What is the initial Theory of Change for SDG acceleration in the proposed Joint Programme?

Max 400 words

=> Explain the main elements of the Theory of Change for SDG Acceleration on selected SDG targets.

=> Demonstrate the case for additionality of the proposed Joint Programme, i.e. why the expected development results will not happen otherwise.

=> List the main assumptions underlying the Theory of Change.

=> Indicate who was involved in development of the Theory of Change, and if this was endorsed by the government and/or other partners.

=> Briefly explain how you plan to apply the Theory of Change to iteratively/adaptively implement the Joint Programme.

5. What is the expected added value of the UN in this Joint Programme?

Max 200 words

=> Demonstrate the expected added value of the UN (i.e. it would not happen without the UN) and of how this will be different from “business as usual” in your specific context (e.g. new partnerships, practices, methods, ideas).

6. How will the proposed Joint Programme operationalize ‘Leaving No One Behind’, and mainstream human rights, gender, environment, disability and youth?

Max 400 words

=> Briefly explain the approach to LNOB (refer to “Leaving No One Behind: A UNSDG Operational Guide for UNCTs”).

=> Briefly explain how each of the above will be mainstreamed, and how that will contribute to overall results of the Joint Programme. Indicate how you plan to address intersectionality.

=> On gender, indicate how you will ensure Gender marker at 2 or above and use the Resource Book for Mainstreaming Gender in UN Common Programming
7. Who will lead and implement the Joint Programme and what will their roles be?

Max 400 words

=> Outline the approach. Include the roles of RCO, UN entities, (sub)national government, civil society, the private sector, trade unions, international development partners, and other actors.

=> Demonstrate how the proposed Joint Programme intends to ensure:
  a) the implementation of the Joint Programme is led by government and national partners.
  b) PUNOs are jointly planning, preparing and coordinating, implementing, monitoring and learning, and reporting on the Joint Programme with the main goal to increase coherence and efficiency.
  c) the right partners in the country, region, and/or internationally are properly engaged.

8. What capacity do the PUNOs and partners currently have to implement the proposed Joint Programme, and/or what plans are suggested to enhance capacity?

Max 400 words

=> Be specific and demonstrate the ability to provide quality expertise, the competences regarding integrated policy support, and Joint Programme management of: a) PUNOs, b) Government, and c) Other partners.

=> Indicate how you intend to enhance the capacities for implementation of this Joint Programme, where lacking.

9. What is the expected period of implementation?

Max 200 words

=> Indicate the period planned for implementation of the Joint Programme and provide brief justification.
  - Include 3-4 most critical milestones (intermediary results) and indicate how they align with plans and initiatives of the government, PUNOs and other UN entities, and other partners.

10. What is the estimated cost for implementing the proposed Joint Programme? (note the minimum amount per agency is US$100,00)

Max 400 words

=> Indicate the overall cost for implementation, the anticipated inputs and how the funds are intended to be utilized, and then justify its cost-efficiency.

=> Indicate the percentage of the total amount requested from the Joint SDG Fund. Indicate, if applicable, the amount and source/s of cost sharing.

=> Indicate the % of the budget to be allocated to gender equality and women’s empowerment.

11. What is the stage of development of the idea for the proposed Joint Programme?

Max 300 words

=> Briefly explain how ‘mature’ the idea is and indicate if pre-design, approval of a proof of concept, feasibility study, piloting, minimum viable product, and/or similar activity has been conducted.

=> Indicate if you have conducted any particular comprehensive analysis of the social protection system (including Assessment-Based National Dialogue (ABND), Core System Diagnostic Instrument (CODI), assessment of the existing coordination system for social protection including all key stakeholders, or a comprehensive analysis related to LNOB in social protection)?

=> Is a relevant national legislative framework and/or strategy already adopted? If not, what is the government’s plan to achieve that?
12. Initial risk assessment

Max 500 words

=> Respond to the following questions
- Which specific contextual factors might influence effective, efficient and sustainable implementation of the Joint Programme?
- Which stakeholders might be opposed to, or disagree with, the Joint Programme, and to what extent could they affect its implementation?
- To what extent might the implementation of this Joint Programme affect safeguarding UN principles, and international norms and standards?
- Might the implementation of this Joint Programme pose reputational risks to the UN? What would those be?
- What are the risks of not ensuring the expected support from partners that the Joint Programme would require to deliver results?

=> Propose how to address the identified risks.

SIGNATURE PAGE

This template should first be adjusted depending on who the partners are (and if they are confirmed), then printed, signed, and scanned. It should be uploaded at the very end of the on-line application.

<table>
<thead>
<tr>
<th>Title of the proposed Joint Programme</th>
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<td>Country</td>
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<td>Proposed duration of implementation</td>
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<td>Overall cost</td>
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<td>The amount requested from the Joint SDG Fund</td>
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Resident Coordinator
Name: 
Date: 
Signature: 

Lead UN entity:
Name and title:
Date: 
Signature: 

Participating UN entity:
Name and title:
Date: 
Signature: 

Participating UN entity:
Name and title:
Date: 
Signature: 

GOVERNMENT ENDORSEMENT

At the end of the on-line application, the RC will need to upload a letter from the government endorsing the Concept note.
### Annex 2: Technical review criteria for Concept Notes

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<thead>
<tr>
<th>Category</th>
<th>Criteria</th>
<th>Weight in the category</th>
<th>Weight of the total</th>
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<tr>
<td><strong>1. Relevance</strong></td>
<td>1.1 Coherence and relevance of the approach <em>(Question 1)</em></td>
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<td>1.2 Rationale for the proposal <em>(Question 2)</em></td>
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<td>1.3 Expected results and Theory of Change <em>(Questions 3, 4)</em></td>
<td>45%</td>
<td><strong>65%</strong></td>
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<td>1.4 UN Value-added <em>(Question 5)</em></td>
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<td>1.5 Cross-cutting issues <em>(Question 6)</em></td>
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<td><strong>2. Delivery and Operations</strong></td>
<td>2.1 Roles and responsibilities <em>(Question 7)</em></td>
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<td>2.2 Capacities/resources <em>(Question 8)</em></td>
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<td>2.3 Duration and milestones <em>(Question 9)</em></td>
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<td>2.4 Budget/Cost-efficiency <em>(Question 10)</em></td>
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<td>2.5 Stage of development <em>(Question 11)</em></td>
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<td>2.6 Risk Management <em>(Question 12)</em></td>
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In addition, the technical review will include the following elements:

<table>
<thead>
<tr>
<th>Desired traits</th>
<th>Does it include cost-sharing by PUNO and/or national partners?</th>
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<tr>
<td></td>
<td>Is UNCT an active user of UN-Info?</td>
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<td>Does it propose to actively involve another UNCT’s for sharing expertise and best practices?</td>
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<td>Does the proposal build upon a MAPS mission/engagement?</td>
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<td>Does it address trans-boundary and/or regional implications?</td>
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